

# Homological methods in Commutative Algebra

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## §1 REGULAR SEQUENCES

### §§ Regular sequences and the Koszul complex

**DEFINITION 1.1.** Let  $A$  be a ring and  $M$  an  $A$ -module. An element  $a \in A$  is said to be  *$M$ -regular* if  $a$  is a non zero-divisor on  $M$ . A sequence  $a_1, \dots, a_n$  of elements of  $A$  is an  *$M$ -sequence* if

- (1) Each  $a_i$  is  $M/(a_1, \dots, a_{i-1})M$ -regular.
- (2)  $M \neq (a_1, \dots, a_n)M$ .

**DEFINITION 1.2.** Let  $A$  be a ring and  $x_1, \dots, x_n \in A$ . We define a complex  $K_\bullet$  by setting  $K_0 = A$ ,  $K_p = 0$  for  $p > n$  or  $p < 0$ , and

$$K_p = \bigoplus_{1 \leq i_1 < \dots < i_p \leq n} A e_{i_1} \wedge \dots \wedge e_{i_p}.$$

For  $1 \leq p \leq n$ , define  $K_p \rightarrow K_{p-1}$  by

$$d(e_{i_1} \wedge \dots \wedge e_{i_p}) = \sum_{i=1}^p (-1)^{r-1} x_{i_r} e_{i_1} \wedge \dots \wedge \widehat{e}_{i_r} \wedge \dots \wedge e_{i_p},$$

and extend linearly to  $K_p$ . This is known as the *Koszul complex*.

**PROPOSITION 1.3.** The Koszul complex is indeed a complex.

*Proof.*  $d \circ d : K_1 \rightarrow K_{-1}$  is obviously the zero map. Now, let  $p \geq 2$ , we shall show that  $(d \circ d)(e_{i_1} \wedge \dots \wedge e_{i_p}) = 0$ . Note that the above can be written as a linear combination of the basis elements of  $K_{p-2}$ . Consider the basis element  $e_{i_1} \wedge \dots \wedge \widehat{e}_{i_a} \wedge \dots \wedge \widehat{e}_{i_b} \wedge \dots \wedge e_{i_p}$ . We shall show that its coefficient is 0.

Indeed, its coefficient is contributed by

$$e_{i_1} \wedge \dots \wedge \widehat{e}_{i_a} \wedge \dots \wedge e_{i_p} \quad \text{and} \quad e_{i_1} \wedge \dots \wedge \widehat{e}_{i_b} \wedge \dots \wedge e_{i_p},$$

each of which has coefficient  $(-1)^{a-1}x_{i_a}$  and  $(-1)^{b-1}x_{i_b}$  respectively. The coefficient of our desired basis element in the differential of the first is  $(-1)^{b-2}x_{i_b}$  and in the second is  $(-1)^{a-1}x_{i_a}$ . Thus, the coefficient of our desired basis element in the differential of  $e_{i_1} \wedge \cdots \wedge e_{i_p}$  is

$$(-1)^{a-1}x_{i_a}(-1)^{b-2}x_{i_b} + (-1)^{b-1}x_{i_b}(-1)^{a-1}x_{i_a} = 0,$$

thereby completing the proof.  $\blacksquare$

**DEFINITION 1.4.** Let  $C_\bullet$  and  $D_\bullet$  be complexes of  $A$ -modules. Define their *tensor product*  $(C \otimes D)_\bullet$  by

$$(C \otimes D)_n = \bigoplus_{i+j=n} C_i \otimes_A D_j.$$

The boundary maps are given by  $d : (C \otimes D)_n \rightarrow (C \otimes D)_{n-1}$

$$d(x \otimes y) = dx \otimes y + (-1)^i x \otimes dy \quad x \in C_i, y \in D_j.$$

**PROPOSITION 1.5.** There is an isomorphism of complexes  $(C \otimes D)_\bullet \cong (D \otimes C)_\bullet$ .

*Proof.* If  $x \otimes y \in (C \otimes D)_n$  with  $x \in C_i$  and  $y \in D_j$ , then send this element to  $(-1)^{ij} y \otimes x \in (D \otimes C)_n$ . It is not hard to check that this is indeed a chain map. That this is an isomorphism of chain complexes follows from the fact that for every  $n$ ,  $(C \otimes D)_n \rightarrow (D \otimes C)_n$  is an isomorphism.  $\blacksquare$

**PROPOSITION 1.6.** Let  $x_1, \dots, x_n \in A$ . Then  $K_\bullet(x_1, \dots, x_n) \cong K_\bullet(x_1) \otimes \cdots \otimes K_\bullet(x_n)$  as complexes.

*Proof.* We prove this by induction on  $n$ . The base case with  $n = 1$  is tautological. Suppose now that  $n \geq 1$ . We shall show that  $K_\bullet(x_1, \dots, x_n) \otimes K_\bullet(x_{n+1}) \cong K_\bullet(x_1, \dots, x_{n+1})$ . Write the complex  $K_\bullet(x_{n+1})$  as

$$0 \longrightarrow Ae_{n+1} \xrightarrow{e_{n+1} \mapsto x_{n+1}} A \longrightarrow 0.$$

Then,  $(K(x_1, \dots, x_n) \otimes K(x_{n+1}))_p = (K_p(x_1, \dots, x_n) \otimes A) \oplus (K_{p-1}(x_1, \dots, x_n) \otimes Ae_{n+1})$ . There is a natural isomorphism

$$(K(x_1, \dots, x_n) \otimes K(x_{n+1}))_p \longrightarrow K_p(x_1, \dots, x_{n+1}),$$

which sends  $e_{i_1} \wedge \cdots \wedge e_{i_p} \otimes 1$  to  $e_{i_1} \wedge \cdots \wedge e_{i_p}$  in  $K_p(x_1, \dots, x_n)$ , and sends  $e_{i_1} \wedge \cdots \wedge e_{i_{p-1}} \otimes e_{n+1}$  to  $e_{i_1} \wedge \cdots \wedge e_{i_{p-1}} \wedge e_{n+1}$  in  $K_p(x_1, \dots, x_{n+1})$ .

It remains to check that the map defined above is indeed a chain map. Indeed, under the differential in the tensor complex,  $e_{i_1} \wedge \cdots \wedge e_{i_p} \otimes 1$  maps to  $d(e_{i_1} \wedge \cdots \wedge e_{i_p}) \otimes 1$ , which maps to  $e(e_{i_1} \wedge \cdots \wedge e_{i_p})$  under the aforementioned isomorphism. On the other hand, the starting element maps to  $e_{i_1} \wedge \cdots \wedge e_{i_p}$  under the isomorphism first and then maps to  $d(e_{i_1} \wedge \cdots \wedge e_{i_p})$  under the differential.

Next, if we begin with  $e_{i_1} \wedge \cdots \wedge e_{i_{p-1}} \otimes e_{n+1}$ , then under the differential, it maps to

$$d(e_{i_1} \wedge \cdots \wedge e_{i_{p-1}}) \otimes e_{n+1} + (-1)^{p-1} x_{n+1} e_{i_1} \wedge \cdots \wedge e_{i_{p-1}} \otimes 1,$$

which maps to

$$d(e_{i_1} \wedge \cdots \wedge e_{i_{p-1}}) \wedge e_{n+1} + (-1)^{p-1} x_{n+1} e_{i_1} \wedge \cdots \wedge e_{i_{p-1}}$$

under the isomorphism. On the other hand, the starting element maps to  $e_{i_1} \wedge \cdots \wedge e_{i_{p-1}} \wedge e_{n+1}$  under the isomorphism, which maps to the above element under the differential. This completes the proof.  $\blacksquare$

**DEFINITION 1.7.** Let  $\underline{x} = x_1, \dots, x_n$  be a sequence in  $A$ . For an  $A$ -module  $M$ , set

$$K_\bullet(\underline{x}, M) = K(\underline{x}) \otimes M.$$

The homology groups of this complex are denoted by  $H_p(\underline{x}, M)$ . Similarly, for a complex  $C_\bullet$  of  $A$ -modules, set  $C_\bullet(\underline{x}) = C_\bullet \otimes K_\bullet(\underline{x})$ .

**PROPOSITION 1.8.** Let  $\underline{x} = x_1, \dots, x_n$  be a sequence in  $A$ . Then

$$H_0(\underline{x}, M) = M/(\underline{x})M \quad H_n(\underline{x}, M) \cong \{\xi \in M : x_1\xi = \dots = x_n\xi = 0\}.$$

*Proof.* The assertion about  $H_0(\underline{x}, M)$  is trivial.  $H_n(\underline{x}, M)$  is precisely the kernel of the map  $K_n(\underline{x}, M) \rightarrow K_{n-1}(\underline{x}, M)$ , which is given by

$$\xi e_1 \wedge \dots \wedge e_n \mapsto \sum_{i=1}^n (-1)^{i-1} x_i \xi e_1 \wedge \dots \wedge \widehat{e_i} \wedge \dots \wedge e_n,$$

where  $\xi e_{i_1} \wedge \dots \wedge e_{i_p} \in K_p(\underline{x}, M)$  is shorthand for  $e_{i_1} \wedge \dots \wedge e_{i_p} \otimes \xi \in K_p(\underline{x}, M)$ .

The right hand side of the above equation is zero if and only if each  $x_i \xi$  is zero, whence the conclusion follows.  $\blacksquare$

**THEOREM 1.9.** Let  $C_\bullet$  be a complex of  $A$ -modules and  $x \in A$ . Then, there is a short exact sequence of complexes

$$0 \rightarrow C_\bullet \rightarrow C_\bullet(x) \rightarrow C'_\bullet \rightarrow 0,$$

where  $C'_{p+1} = C_p$  is the (upward) shift of the complex  $C_\bullet$ . The homology long exact sequence so obtained looks like

$$\dots \rightarrow H_p(C_\bullet) \rightarrow H_p(C_\bullet(x)) \rightarrow H_{p-1}(C_\bullet) \xrightarrow{(-1)^{p-1}x} H_{p-1}(C_\bullet) \rightarrow \dots$$

Further, we have  $x \cdot H_p(C_\bullet(x)) = 0$  for all  $p \in \mathbb{Z}$ .

*Proof.* Denote the Koszul complex  $K_\bullet(x)$  by

$$\dots \rightarrow 0 \rightarrow Ae_1 \xrightarrow{e_1 \mapsto x} A \rightarrow 0.$$

Thus, we can identify  $C_\bullet(x)$  with  $C_p \oplus C_{p-1}$  with the boundary map as

$$d(\xi, \eta) = (d\xi + (-1)^{p-1}x\eta, d\eta) \in C_{p-1} \oplus C_{p-2}.$$

Hence, we have a short exact sequence

$$\begin{array}{ccccccc} \dots & \longrightarrow & C_p & \longrightarrow & C_{p-1} & \longrightarrow & \dots \\ & & \downarrow & & \downarrow & & \\ \dots & \longrightarrow & C_p \oplus C_{p-1} & \longrightarrow & C_{p-1} \oplus C_{p-2} & \longrightarrow & \dots \\ & & \downarrow & & \downarrow & & \\ \dots & \longrightarrow & C_{p-1} & \longrightarrow & C_{p-2} & \longrightarrow & \dots \end{array}$$

That the above commutes is straightforward. It remains to compute the boundary map from  $H_{p-1}(C_\bullet) = H_p(C'_\bullet)$  to  $H_{p-1}(C_\bullet)$ .

Choose a cycle  $\eta \in C'_p = C_{p-1}$ , that is,  $d\eta = 0$ . This lifts to  $(0, \eta) \in C_p \oplus C_{p-1}$ , which maps to  $((-1)^{p-1}x\eta, 0) \in C_{p-1} \oplus C_{p-2}$ , which again lifts to  $(-1)^{p-1}x\eta$  in  $C_{p-1}$ , which is a cycle in  $C_{p-1}$ . Hence, the induced map on homologies is multiplication by  $(-1)^{p-1}x$ .

Finally, we must show that  $x$  annihilates  $H_p(C_\bullet(x))$  for all  $p$ . Choose a cycle  $(\xi, \eta) \in C_p \oplus C_{p-1}$ , that is,  $d\eta = 0$ , and  $d\xi = (-1)^p x\eta$ . Hence,

$$C_{p+1} \ni d(0, (-1)^p \xi) = ((-1)^p x\xi, (-1)^p d\xi) = x \cdot (\xi, \eta).$$

Thus,  $x$  annihilates  $[(\xi, \eta)] \in H_p(C_\bullet(x))$ , whence annihilates all of  $H_p(C_\bullet(x))$ .  $\blacksquare$

**COROLLARY 1.10.** Let  $\underline{x} = x_1, \dots, x_n$  be a sequence in  $A$ . Then  $(\underline{x})$  annihilates  $H_p(\underline{x}, M)$  for every  $p \in \mathbb{Z}$ .

*Proof.* It suffices to show that  $x_n$  annihilates  $H_p(\underline{x}, M)$  since the Koszul complex is invariant under permutation of the sequence  $\underline{x}$ . But this is obvious, since  $K_\bullet(\underline{x}, M)$  is isomorphic to  $K_\bullet(x_1, \dots, x_{n-1}, M) \otimes K_\bullet(x_n)$  due to the commutativity of tensor products of complexes. We are done by invoking the preceding theorem with  $C_\bullet = K_\bullet(x_1, \dots, x_{n-1}, M)$  and  $x = x_n$ . ■

**THEOREM 1.11.** Let  $A$  be a ring,  $M$  an  $A$ -module, and  $x_1, \dots, x_n$  an  $M$ -sequence. Then

$$H_p(\underline{x}, M) = 0 \quad \forall p > 0, \quad H_0(\underline{x}, M) = M/(\underline{x})M.$$

*Proof.* Induct on  $n$ . The base case with  $n = 1$  follows from the fact that  $H_1(x_1, M) = (0 :_M x_1) = 0$ , since  $x_1$  is  $M$ -regular. Now, suppose  $n > 1$ . If  $p > 1$ , then there is an exact sequence furnished by Theorem 1.9 by taking  $C_\bullet = K_\bullet(x_1, \dots, x_{n-1}, M)$  and  $x = x_n$ :

$$0 = H_p(x_1, \dots, x_{n-1}, M) \longrightarrow H_p(x_1, \dots, x_n, M) \longrightarrow H_{p-1}(x_1, \dots, x_{n-1}, M) = 0,$$

whence  $H_p(\underline{x}, M) = 0$ . It remains to establish that  $H_1(\underline{x}, M) = 0$ . Set  $M_i = M/(x_1, \dots, x_i)M$  with the convention that  $M_0 = M$ . The above long exact sequence again furnishes

$$0 = H_1(x_1, \dots, x_{n-1}, M) \rightarrow H_1(\underline{x}, M) \rightarrow H_0(x_1, \dots, x_{n-1}, M) = M_{n-1} \xrightarrow{x_n} M_{n-1}.$$

But since  $x_n$  is a non zero-divisor on  $M_{n-1}$ , we see that  $H_1(\underline{x}, M) = 0$  as desired. ■

**THEOREM 1.12.** Suppose one of the following two conditions holds:

- ( $\alpha$ )  $(A, \mathfrak{m})$  is a Noetherian local ring,  $x_1, \dots, x_n \in \mathfrak{m}$ , and  $M$  is a finite  $A$ -module.
- ( $\beta$ )  $A$  is an  $\mathbb{N}$ -graded ring,  $M$  is an  $\mathbb{N}$ -graded  $A$ -module, and  $x_1, \dots, x_n$  are homogeneous elements of positive degree.

Then, if  $H_1(\underline{x}, M) = 0$  and  $M \neq 0$ , then  $x_1, \dots, x_n$  is an  $M$ -sequence.

*Proof.* Induction on  $n$ . If  $n = 1$ , then  $0 = H_1(x_1, M) = (0 :_M x_1)$ , whence  $x_1$  is a non zero-divisor on  $M$ . Now suppose  $n > 1$ . Again, we make use of the exact sequence associated with  $K_\bullet(x_1, \dots, x_{n-1}, M) \otimes K_\bullet(x_n)$  to get

$$H_1(x_1, \dots, x_{n-1}, M) \xrightarrow{-x_n} H_1(x_1, \dots, x_{n-1}, M) \rightarrow H_1(\underline{x}, M) = 0.$$

But since  $H_i(x_1, \dots, x_{n-1}, M)$  is a finite  $A$ -module in case ( $\alpha$ ) or a  $\mathbb{N}$ -graded module in case ( $\beta$ ), the above surjection implies, due to Nakayama, that  $H_1(x_1, \dots, x_{n-1}, M) = 0$ . The induction hypothesis then implies  $x_1, \dots, x_{n-1}$  is an  $M$ -sequence.

Now, continuing the above long exact sequence, we get

$$0 = H_1(\underline{x}, M) \longrightarrow H_0(x_1, \dots, x_{n-1}, M) = M_{n-1} \xrightarrow{x_n} M_{n-1},$$

where  $M_{n-1} = M/(x_1, \dots, x_{n-1})M$ . The above sequence implies  $x_n$  is  $M_{n-1}$ -regular, whence  $x_1, \dots, x_n$  is an  $M$ -sequence, as desired. ■

**THEOREM 1.13.** Let  $A$  be a Noetherian ring,  $M$  a finite  $A$ -module, and  $I$  an ideal of  $A$  such that  $M \neq IM$ . For a given integer  $n > 0$ , the following conditions are equivalent:

- (1)  $\text{Ext}_A^i(N, M) = 0$  for all  $i < n$  and for any finite  $A$ -module  $N$  with  $\text{Supp}(N) \subseteq V(I)$ .
- (2)  $\text{Ext}_A^i(A/I, M) = 0$  for all  $i < n$ .
- (3)  $\text{Ext}_A^i(N, M) = 0$  for all  $i < n$  and for some finite  $A$ -module  $N$  with  $\text{Supp}(N) = V(I)$ .
- (4) There exists an  $M$ -sequence of length  $n$  contained in  $I$ .

*Proof.* (1)  $\Rightarrow$  (2)  $\Rightarrow$  (3) is clear. (3)  $\Rightarrow$  (4) First, we show that  $I$  contains an  $M$ -regular element. Suppose not, then due to prime avoidance,  $I$  must be contained in some associated prime  $\mathfrak{p} \in \text{Ass}_A(M)$ . Thus, there is an injective map  $A/\mathfrak{p} \hookrightarrow M$ , which upon localizing at  $\mathfrak{p}$ , we see that  $\text{Hom}_{A_{\mathfrak{p}}}(\kappa(\mathfrak{p}), M_{\mathfrak{p}}) \neq 0$ . Now,  $\mathfrak{p} \in V(I) = \text{Supp}(N)$ , whence  $N_{\mathfrak{p}} \neq 0$ , and hence, due to Nakayama's lemma,  $N_{\mathfrak{p}}/\mathfrak{p}N_{\mathfrak{p}} \neq 0$  (since  $N_{\mathfrak{p}}$  is a finite  $A_{\mathfrak{p}}$ -module). Then,  $N_{\mathfrak{p}}/\mathfrak{p}N_{\mathfrak{p}}$  is a non-zero  $\kappa(\mathfrak{p})$ -vector space, and consequently,  $\text{Hom}_{A_{\mathfrak{p}}}(N_{\mathfrak{p}}/\mathfrak{p}N_{\mathfrak{p}}, \kappa(\mathfrak{p})) \neq 0$  (choose a basis and project onto a coordinate). Now, we can form the composition

$$N_{\mathfrak{p}} \rightarrow N_{\mathfrak{p}}/\mathfrak{p}N_{\mathfrak{p}} \rightarrow \kappa(\mathfrak{p}) \hookrightarrow M_{\mathfrak{p}}.$$

The first two maps are surjections and hence, the composition is non-zero. It follows that  $\text{Hom}_{A_{\mathfrak{p}}}(N_{\mathfrak{p}}, M_{\mathfrak{p}}) \neq 0$ . Since  $N$  is finite over a Noetherian ring, we have

$$(\text{Hom}_A(N, M))_{\mathfrak{p}} = \text{Hom}_{A_{\mathfrak{p}}}(N_{\mathfrak{p}}, M_{\mathfrak{p}}) \neq 0,$$

whence  $\text{Ext}_A^0(N, M) = \text{Hom}_A(N, M) \neq 0$ , a contradiction to (3). Hence,  $I$  contains an  $M$ -regular element, say  $f$ . If  $n = 1$ , then we are already done. If  $n > 1$ , then set  $M_1 = M/fM$  and consider the short exact sequence

$$0 \rightarrow M \xrightarrow{f} M \rightarrow M_1 \rightarrow 0.$$

The long exact sequence using  $\text{Ext}_A(N, -)$  gives

$$\cdots \rightarrow \text{Ext}_A^{i-1}(N, M) \xrightarrow{f} \text{Ext}_A^{i-1}(N, M) \rightarrow \text{Ext}_A^{i-1}(N, M_1) \rightarrow \text{Ext}_A^i(N, M) \rightarrow \cdots.$$

For  $1 \leq i < n$ , this implies  $\text{Ext}_A^{i-1}(N, M_1) = 0$ , and due to the induction hypothesis, there is an  $M_1$ -sequence  $f_2, \dots, f_n$  in  $I$ . Thus,  $f_1, \dots, f_n$  is an  $M$ -sequence in  $I$ .

(4)  $\Rightarrow$  (1). Induction on  $n$ . We shall deal with the base case later. Suppose  $n > 1$ . Let  $\underline{x} = x_1, \dots, x_n$  be an  $M$ -sequence in  $I$ . Set  $M_1 = M/x_1M$  which fits into a short exact sequence  $0 \rightarrow M \xrightarrow{x_1} M \rightarrow M_1 \rightarrow 0$ . The sequence  $x_2, \dots, x_n$  is an  $M_1$ -sequence in  $I$ , whence due to the inductive hypothesis,  $\text{Ext}_A^i(N, M_1) = 0$  for all  $i < n - 1$ . The long exact sequence corresponding to  $\text{Ext}_A(N, -)$  gives us

$$0 = \text{Ext}_A^{i-1}(N, M_1) \rightarrow \text{Ext}_A^i(N, M) \xrightarrow{x_1} \text{Ext}_A^i(N, M)$$

for all  $0 \leq i < n$ , with the convention that  $\text{Ext}_A^{-1}(N, M_1) = 0$ . But note that  $\text{Ext}_A^i(N, -)$  is annihilated by  $\text{Ann}_A(N)$ . But since  $\text{Supp}(N) = V(\text{Ann}_A(N)) \subseteq V(I)$ , we conclude that  $I \subseteq \sqrt{I} \subseteq \sqrt{\text{Ann}_A(N)}$ . In particular, a sufficiently large power of  $x_1$  annihilates  $N$ , whence, annihilates  $\text{Ext}_A^i(N, M)$ . But since multiplication by  $x_1$  is injective, we must have that  $\text{Ext}_A^i(N, M) = 0$  for  $i < n$ , thereby completing the proof.  $\blacksquare$

**THEOREM 1.14.** Let  $A$  be a Noetherian ring,  $I$  an ideal of  $A$ , and  $M$  a finite  $A$ -module such that  $M \neq IM$ . Then the length of any maximal  $M$ -sequence contained in  $I$  is the same, say  $n$ , and  $n$  is determined by

$$\text{Ext}_A^i(A/I, M) = 0 \quad \forall i < n \quad \text{and} \quad \text{Ext}_A^n(A/I, M) \neq 0.$$

We write  $n = \text{depth}(I, M)$  and call  $n$  the *I-depth* of  $M$ .

*Proof.* Let  $\underline{a} = a_1, \dots, a_n$  be a maximal  $M$ -sequence in  $I$ . Suppose  $\text{Ext}_A^n(A/I, M) = 0$ . Define  $M_i = M/(a_1, \dots, a_i)M$ . Using the short exact sequence  $0 \rightarrow M \xrightarrow{a_1} M \rightarrow M_1 \rightarrow 0$ , we have an exact sequence

$$0 = \text{Ext}_A^{n-1}(A/I, M) \rightarrow \text{Ext}_A^{n-1}(A/I, M_1) \rightarrow \text{Ext}_A^n(A/I, M) = 0,$$

whence  $\text{Ext}_A^{n-1}(A/I, M_1) = 0$ ; and since  $a_2, \dots, a_n$  is an  $M_1$ -sequence,  $\text{Ext}_A^i(A/I, M_1) = 0$  for  $i < n - 1$ . Arguing similarly, we get that  $\text{Ext}_A^0(A/I, M_n) = 0$ . Due to the preceding theorem,  $I$  must contain an  $M_n$ -regular element, contradicting the maximality of  $\underline{a}$ . Thus,  $\text{Ext}_A^n(A/I, M) \neq 0$  and  $\text{Ext}_A^i(A/I, M) = 0$  for  $i < n$ .

On the other hand, if  $\underline{b} = b_1, \dots, b_m$  is a maximal  $M$ -sequence, then due to the above paragraph,  $\text{Ext}_A^m(A/I, M) \neq 0$  and  $\text{Ext}_A^i(A/I, M) = 0$  for  $i < m$ . In particular, this means that  $m = n$ .

Finally, suppose  $n$  satisfies the conditions given in the theorem. Then, due to the preceding theorem, there is an  $M$ -sequence  $\underline{a} = a_1, \dots, a_n$  in  $I$ . Further, since  $\text{Ext}_A^n(A/I, M) \neq 0$ , this sequence must be maximal, else it could be extended and again, due to the preceding theorem  $\text{Ext}_A^n(A/I, M) = 0$ . This completes the proof. ■

**REMARK 1.15.** The above theorem can be phrased more succinctly as

$$\text{depth}(I, M) = \inf \left\{ i : \text{Ext}_A^i(A/I, M) \neq 0 \right\}.$$

In particular, if  $(A, \mathfrak{m}, k)$  is a Noetherian local ring, then we write  $\text{depth}(\mathfrak{m}, M)$  as  $\text{depth } M$  and

$$\text{depth } M = \inf \left\{ i : \text{Ext}_A^i(k, M) \neq 0 \right\}.$$

**THEOREM 1.16 (DEPTH SENSITIVITY OF KOSZUL COMPLEX).** Let  $A$  be a Noetherian ring,  $I = (y_1, \dots, y_n)$  an ideal of  $A$ , and  $M$  a finite  $A$ -module such that  $M \neq IM$ . If

$$q = \sup \{ i : H_i(\underline{y}, M) \neq 0 \},$$

then  $\text{depth}(I, M) = n - q$ .

*Proof.* We shall argue by induction on  $s = \text{depth}(I, M)$ . If  $s = 0$ , then every element of  $I$  is a zero-divisor on  $M$ , whence by prime avoidance, there is an associated prime  $\mathfrak{p} \in \text{Ass}_A(M)$  such that  $I \subseteq \mathfrak{p}$ . By definition, there is some  $0 \neq \xi \in M$  such that  $\mathfrak{p} = \text{Ann}_A(\xi)$ , and hence,  $I\xi = 0$ . Recall that  $H_n(\underline{y}, M) = (0 :_M (\underline{y})) = (0 :_M I) \neq 0$ , since it contains  $\xi$ . Thus,  $q = n$ .

Now, suppose  $s > 0$ , then  $H_n(\underline{y}, M) = 0$ , since some element of  $I$  is a non zero-divisor on  $M$ . In particular, this means  $q < n$ . Let  $\underline{x} = x_1, \dots, x_s$  be a maximal  $M$ -sequence in  $I$ . There is a short exact sequence  $0 \rightarrow M \xrightarrow{x_1} M \rightarrow M_1 \rightarrow 0$ , where  $M_1 = M/x_1M$ . Since every element in the Koszul complex  $K_\bullet(\underline{y})$  is a free module, tensoring with the above short exact sequence will give a short exact sequence of complexes

$$0 \rightarrow K_\bullet(\underline{y}, M) \xrightarrow{x_1} K_\bullet(\underline{y}, M) \rightarrow K_\bullet(\underline{y}, M_1) \rightarrow 0.$$

The associated long exact sequence looks like

$$H_i(\underline{y}, M) \xrightarrow{x_1} H_i(\underline{y}, M) \rightarrow H_i(\underline{y}, M_1) \rightarrow H_{i-1}(\underline{y}, M) \xrightarrow{x_1} H_{i-1}(\underline{y}, M)$$

for all  $i$ . Recall that  $I = (\underline{y})$  annihilates  $H_i(\underline{y}, M)$  for all  $i$ , and hence the image of the first map and the kernel of the last map in the above sequence is 0, thereby giving us a short exact sequence

$$0 \rightarrow H_i(\underline{y}, M) \rightarrow H_i(\underline{y}, M_1) \rightarrow H_{i-1}(\underline{y}, M) \rightarrow 0, \quad \forall i \in \mathbb{Z}.$$

Now, note that if  $H_i(\underline{y}, M_1) = 0$ , then  $H_i(\underline{y}, M) = H_{i-1}(\underline{y}, M) = 0$ . Hence,  $H_{q+1}(\underline{y}, M_1) \neq 0$ , but for  $i > q + 1$ ,  $H_i(\underline{y}, M_1) = 0$ . Now,  $\text{depth}(I, M_1) = s - 1$ , since  $x_2, \dots, x_n$  is a maximal  $M_1$ -sequence in  $I$ , for if not, then the original sequence  $\underline{x}$  could be extended to a larger  $M$ -sequence in  $I$ . By the induction hypothesis, we have  $q + 1 = n - (s - 1)$ , and thus,  $s = n - q$ . ■

**REMARK 1.17.** In other words,  $\text{depth}(I, M)$  is the number of successive zero terms from the left in the sequence

$$H_n(\underline{y}, M), H_{n-1}(\underline{y}, M), \dots, H_0(\underline{y}, M) = M/IM \neq 0.$$

## §§ Cohen-Macaulay Rings

**THEOREM 1.18 (ISCHEBECK).** Let  $(A, \mathfrak{m})$  be a Noetherian local ring,  $M$  and  $N$  be non-zero finite  $A$ -modules, and suppose  $\text{depth } M = k$  and  $\dim N = r$ . Then

$$\text{Ext}_A^i(N, M) = 0 \quad \text{for } i < k - r.$$

*Proof.* We shall first prove the statement of the theorem when  $N = A/\mathfrak{p}$ . If  $\dim N = r = 0$ , then  $N = A/\mathfrak{m}$ . Using Remark 1.15, we have that

$$k = \text{depth } M = \inf \{i : \text{Ext}_A^i(N, M) \neq 0\}.$$

Hence, for all  $i < k = k - r$ , we have that  $\text{Ext}_A^i(N, M) = 0$ .

Suppose now that  $r > 0$ . Then  $\mathfrak{p}$  is not maximal, so we can choose some  $x \in \mathfrak{m} \setminus \mathfrak{p}$ . This gives us a short exact sequence

$$0 \rightarrow N \xrightarrow{\cdot x} N \rightarrow N' \rightarrow 0,$$

where  $N' = N/xN = A/(\mathfrak{p}, x)$ . Since  $\dim N' < \dim N$ , the induction hypothesis applies to  $N'$ . For each  $i < k - r$ , we obtain a long exact sequence

$$\text{Ext}_A^i(N', M) \rightarrow \text{Ext}_A^i(N, M) \xrightarrow{\cdot x} \text{Ext}_A^i(N, M) \rightarrow \text{Ext}_A^{i+1}(N', M) = 0.$$

The induction hypothesis implies  $\text{Ext}_A^{i+1}(N', M) = 0$ , whence due to Nakayama's lemma,  $\text{Ext}_A^i(N, M) = 0$ , as desired. ■

**COROLLARY 1.19.** Let  $(A, \mathfrak{m})$  be a Noetherian local ring,  $M$  a finite  $A$ -module, and  $\mathfrak{p} \in \text{Ass}_A(M)$ . Then  $\dim A/\mathfrak{p} \geq \text{depth } M$ .

*Proof.* If  $\dim A/\mathfrak{p} < \dim M$ , then due to Theorem 1.18

$$\text{Hom}_A(A/\mathfrak{p}, M) = \text{Ext}_A^0(A/\mathfrak{p}, M) = 0,$$

which is absurd, since  $\mathfrak{p} \in \text{Ass}_A(M)$ . ■

**DEFINITION 1.20.** Let  $(A, \mathfrak{m}, k)$  be a Noetherian local ring, and  $M$  a finite  $A$ -module. We say that  $M$  is a *Cohen-Macaulay module* if  $M \neq 0$  and  $\text{depth } M = \dim M$ , or if  $M = 0$ . If  $A$  is a Cohen-Macaulay module over itself, then it is said to be a Cohen-Macaulay (local) ring.

**THEOREM 1.21.** Let  $A$  be a Noetherian local ring, and  $M$  a finite  $A$ -module.

- (1) If  $M$  is a CM-module, then for any  $\mathfrak{p} \in \text{Ass}_A(M)$  we have

$$\dim A/\mathfrak{p} = \dim M = \text{depth } M.$$

Hence  $M$  has no embedded associated primes.

- (2) If  $a_1, \dots, a_r \in \mathfrak{m}$  is an  $M$ -sequence and we set  $M' = M/(a_1, \dots, a_r)$  then

$$M \text{ is a CM-module over } A \iff M' \text{ is a CM-module over } A.$$

- (3) If  $M$  is a CM-module over  $A$ , then  $M_{\mathfrak{p}}$  is a CM-module over  $A_{\mathfrak{p}}$  for every  $\mathfrak{p} \in \text{Spec } A$ , and if  $M_{\mathfrak{p}} \neq 0$  then

$$\text{depth}(\mathfrak{p}, M) = \text{depth}_{A_{\mathfrak{p}}} M_{\mathfrak{p}}.$$

*Proof.* (1) We have

$$\dim M = \sup \{\dim A/\mathfrak{p} : \mathfrak{p} \in \text{Ass}_A(M)\} \geq \inf \{\dim A/\mathfrak{p} : \mathfrak{p} \in \text{Ass}_A(M)\} \geq \text{depth } M.$$

Since  $\dim M = \text{depth } M$ , the conclusion follows.

- (2) This follows immediately from the fact that  $\text{depth } M' = \text{depth } M - r$  and  $\dim M' = \dim M - r$ .
- (3) It suffices to consider the case  $\mathfrak{p} \in \text{Supp}_A(M)$ , that is,  $\mathfrak{p} \supseteq \text{Ann}_A(M)$ . Since every  $M$ -regular sequence contained in  $\mathfrak{p}$  is an  $M_{\mathfrak{p}}$ -regular sequence contained in  $\mathfrak{p}A_{\mathfrak{p}}$ , we have the obvious inequalities

$$\dim M_{\mathfrak{p}} \geq \text{depth}_{A_{\mathfrak{p}}} M_{\mathfrak{p}} \geq \text{depth}(\mathfrak{p}, M_{\mathfrak{p}}).$$

We shall show that  $\dim M_{\mathfrak{p}} = \text{depth}(\mathfrak{p}, M)$ , whence all the desired conclusions would follow. The proof is by induction on  $\text{depth}(\mathfrak{p}, M)$ . For the base case, we have  $\text{depth}(\mathfrak{p}, M) = 0$ , which, due to prime avoidance, means that  $\mathfrak{p}$  is contained in an associated prime of  $M$ . Since  $M$  has no embedded associated primes, we must have that  $\mathfrak{p}$  is an associated prime. As a result,  $\dim M_{\mathfrak{p}} = 0 = \text{depth}(\mathfrak{p}, M)$ .

Suppose now that  $\text{depth}(\mathfrak{p}, M) > 0$ ; choose an  $M$ -regular element  $a \in \mathfrak{p}$  and set  $M' = M/aM$ . Then

$$\text{depth}(\mathfrak{p}, M') = \text{depth}(\mathfrak{p}, M) - 1,$$

and  $M'$  is a CM-module over  $A$  due to (2). Further, note that  $M'_{\mathfrak{p}} = M_{\mathfrak{p}}/aM_{\mathfrak{p}} \neq 0$  due to Nakayama's lemma. Thus, the induction hypothesis applies and using the fact that  $a \in A_{\mathfrak{p}}$  is  $M_{\mathfrak{p}}$ -regular, we have

$$\dim M_{\mathfrak{p}} - 1 = \dim M_{\mathfrak{p}}/aM_{\mathfrak{p}} = \dim M'_{\mathfrak{p}} = \text{depth}(\mathfrak{p}, M') = \text{depth}(\mathfrak{p}, M) - 1,$$

whence the desideratum follows. ■

## §§ Base Change Theorems

**LEMMA 1.22.** Let  $A$  be a ring,  $M$  an  $A$ -module, and  $n \geq 0$  an integer. Then

$$\text{inj dim } M \leq n \iff \text{Ext}_A^{n+1}(A/I, M) = 0 \text{ for all ideals } I.$$

If  $A$  is Noetherian, then we can replace “for all ideals” by “for all prime ideals” in the above equivalence.

*Proof.* The forward direction is trivial by considering an injective resolution of length  $\leq n$  and constructing the left derived functors of  $\text{Hom}_A(A/I, -)$ .

We prove the converse. If  $n = 0$ , then  $\text{Ext}_A^1(A/I, M) = 0$ , which is equivalent to Baer's criterion for injectivity. Thus  $M$  is injective, that is,  $\text{inj dim } M = 0 \leq n$ . Now, suppose  $n > 0$ . Consider an injective resolution of length  $n - 1$  and let  $K$  be the cokernel of the last map. That is,

$$0 \rightarrow M \rightarrow E^0 \rightarrow E^1 \rightarrow \cdots \rightarrow E^{n-1} \rightarrow K_n \rightarrow 0,$$

where every  $E^i$  is injective. We claim that  $K$  is injective. To see this, break down the above exact sequence into short exact sequences of the form

$$0 \rightarrow K_0 \rightarrow E^0 \rightarrow K_1 \rightarrow 0 \quad 0 \rightarrow K_1 \rightarrow E^1 \rightarrow K_2 \rightarrow 0,$$

and so on, with the convention that  $K_0 = M$ . The long exact sequence for  $\text{Ext}_A(A/I, -)$  on the first short exact sequence gives

$$0 = \text{Ext}_A^n(A/I, E^0) \rightarrow \text{Ext}_A^n(A/I, K_1) \rightarrow \text{Ext}_A^{n+1}(A/I, K_0) = 0,$$

whence  $\text{Ext}_A^n(A/I, K_1) = 0$ . Proceeding similarly with the other exact sequences, one can show that  $\text{Ext}_A^1(A/I, K_n) = 0$ , for every ideal  $I$  of  $A$ . Hence,  $K_n$  is injective, i.e.,  $\text{inj dim } M \leq n$ . ■

**LEMMA 1.23.** Let  $A$  be a ring,  $M$  and  $N$  two  $A$ -modules, and  $x \in A$ . Suppose that  $x$  is both  $A$ -regular and  $M$ -regular, and that  $xN = 0$ . Set  $B = A/xA$  and  $\overline{M} = M/xM$ . Then

$$(1) \text{ Hom}_A(N, M) = 0 \text{ and } \text{Ext}_A^{n+1}(N, M) \cong \text{Ext}_B^n(N, \overline{M}) \text{ for all } n \geq 0.$$

$$(2) \text{ Ext}_A^n(M, N) \cong \text{Ext}_B^n(\overline{M}, N) \text{ for all } n \geq 0.$$



(3)  $\text{Tor}_n^A(M, N) \cong \text{Tor}_n^B(\overline{M}, N)$  for all  $n \geq 0$ .

*Proof.* (1) If  $f : N \rightarrow M$  is  $A$ -linear, then for any  $n \in N$ ,  $xf(n) = f(xn) = 0$ , and since  $x$  is  $M$ -regular,  $f(n) = 0$ . Thus  $f = 0$ , as desired. Now, set  $T^n(N) = \text{Ext}_A^{n+1}(N, M)$ . Then, the collection  $(T^n)_{n \geq 0}$  is a contravariant  $\delta$ -functor from the category  $\mathfrak{Mod}_B$  to the category  $\mathfrak{Mod}_A$ . Further, the short exact sequence

$$0 \rightarrow M \xrightarrow{x} M \rightarrow \overline{M} \rightarrow 0$$

furnishes a long exact sequence

$$0 = \text{Hom}_A(N, M) \rightarrow \text{Hom}_A(N, \overline{M}) \xrightarrow{\delta} \text{Ext}_A^1(N, M) \xrightarrow{x} \text{Ext}_A^1(N, M) \rightarrow \cdots$$

Since  $x$  annihilates  $N$ , it must annihilate  $\text{Ext}_A^1(N, M)$ , and so the above exact sequence reduces to

$$0 \rightarrow \text{Hom}_A(N, \overline{M}) \xrightarrow{\delta} \text{Ext}_A^1(N, M) \rightarrow 0.$$

Thus  $\delta$  is a natural isomorphism between the functors  $T^0$  and  $\text{Ext}_A^1(-, M)$ . Now, it suffices to show that the collection  $(T^n)_{n \geq 0}$  constitutes a universal  $\delta$ -functor, whence it suffices to show that  $T^n(P) = 0$  for every projective  $B$ -module  $P$  and  $n \geq 1$ ; since then it would be coeffaceable by projectives and due to a theorem of Grothendieck, it would be universal.

This is equivalent to showing that  $\text{Ext}_A^n(P, M) = 0$  where  $P$  is a direct sum of copies of  $A/xA$  and  $n \geq 2$ . But note that  $\text{proj dim}_A A/xA \leq 1$ , and hence  $\text{Ext}_A^n(A/xA, M) = 0$  for all  $A$ -modules  $M$  and  $n \geq 2$ , as desired. This proves (1).

(2) We contend that  $\text{Tor}_n^A(M, B) = 0$  for all  $n > 0$ . Since  $\text{proj dim}_A B \leq 1$ , it immediately follows that  $\text{Tor}_n^A(M, B) = 0$  for  $n > 1$ . For  $n = 1$ , the short exact sequence

$$0 \rightarrow A \xrightarrow{x} A \rightarrow B \rightarrow 0$$

furnishes a long exact sequence

$$0 = \text{Tor}_1^A(M, A) \rightarrow \text{Tor}_1^A(M, B) \rightarrow M \xrightarrow{x} M \rightarrow \overline{M} \rightarrow 0.$$

Since  $x$  is  $M$ -regular, we have that  $\text{Tor}_1^A(M, A) = 0$ .

Now, let  $P_\bullet \rightarrow M \rightarrow 0$  be a free resolution of  $M$ . Because of the preceding paragraph, the sequence  $P_\bullet \otimes_A B \rightarrow M \otimes_A B \rightarrow 0$  is exact, so that  $P_\bullet \otimes B$  is a free resolution of the  $B$ -module  $M \otimes B \cong \overline{M}$ . From the Hom-Tensor adjunction, note that there are natural isomorphisms

$$\text{Hom}_A(P_\bullet, N) = \text{Hom}_A(P_\bullet, \text{Hom}_B(B, N)) \cong \text{Hom}_B(P_\bullet \otimes_A B, N).$$

Therefore,

$$\text{Ext}_A^n(M, N) = H^n(\text{Hom}_A(P_\bullet, N)) = H^n(\text{Hom}_B(P_\bullet \otimes_A B, N)) = \text{Ext}_B^n(\overline{M}, N),$$

as desired.

(3) Continuing with the notation of (2), we have

$$\text{Tor}_n^A(M, N) = H_n(P_\bullet \otimes_A N) = H_n((P_\bullet \otimes_A B) \otimes_B N) = \text{Tor}_n^B(\overline{M}, N),$$

thereby completing the proof. ■

**THEOREM 1.24 (FIRST BASE CHANGE THEOREM).** Let  $A$  be a ring,  $a \in A$  an  $A$ -regular element, and let  $M$  be an  $A/aA$ -module. If  $\text{proj dim}_{A/aA} M < \infty$ , then

## §2 REGULAR RINGS

### §§ Regular Rings

**DEFINITION 2.1.** Let  $(A, \mathfrak{m}, k)$  be a local ring and let  $M$  be a finite  $A$ -module. An exact sequence

$$\cdots \rightarrow L_i \xrightarrow{d_i} L_{i-1} \xrightarrow{d_{i-1}} \cdots \rightarrow L_1 \xrightarrow{d_1} L_0 \xrightarrow{\varepsilon} M \rightarrow 0$$

is called a *minimal (free) resolution* of  $M$  if

- each  $L_i$  is a finite free  $A$ -module
- $0 = \bar{d}_i : L_i \otimes_A k \rightarrow L_{i-1} \otimes_A k$ , or equivalently  $d_i L_i \subseteq \mathfrak{m} L_{i-1}$  for all  $i \geq 1$ , and
- $\bar{\varepsilon} : L_0 \otimes_A k \rightarrow M \otimes_A k$  is an isomorphism.

It is easy to see that a minimal free resolution exists for every finite module over a Noetherian local ring; at each stage simply take a minimal generating set of the kernel and continue.

**LEMMA 2.2.** Let  $(A, \mathfrak{m}, k)$  be a local ring, and  $M$  a finite  $A$ -module. Suppose  $L_\bullet$  is a minimal resolution of  $M$ ; then

- (1)  $\dim_k \operatorname{Tor}_i^A(M, k) = \operatorname{rank} L_i$  for all  $i$ .
- (2)  $\operatorname{proj dim}_A M = \sup \{i : \operatorname{Tor}_i^A(M, k) \neq 0\} \leq \operatorname{proj dim}_A k$ ,
- (3) if  $M \neq 0$  and  $\operatorname{proj dim}_A M = r < \infty$ , then for any finite  $A$ -module  $N \neq 0$ , we have  $\operatorname{Ext}_A^r(M, N) \neq 0$ .

*Proof.* (1) This follows immediately from the fact that  $\bar{d}_i = 0$  for all  $i \geq 1$ .

- (2) The second inequality is straightforward. For if  $\operatorname{proj dim}_A k = \infty$ , then there is nothing to prove. If  $\operatorname{proj dim}_A k < \infty$ , then take a projective resolution of this length and tensor with  $A$  to conclude.

From (1) it immediately follows that  $\operatorname{proj dim}_A M \leq \sup \{i : \operatorname{Tor}_i^A(M, k) \neq 0\}$ , since this quantity is precisely the length of the minimal free resolution of  $M$ . If  $\operatorname{proj dim}_A M = \infty$ , then there is nothing to prove. If  $\operatorname{proj dim}_A M < \infty$ , then take a projective resolution of  $M$  achieving this length and tensor with  $k$  whence it follows that  $\sup \{i : \operatorname{Tor}_i^A(M, k) \neq 0\} \leq \operatorname{proj dim}_A M$ , as desired.

- (3) Applying  $\operatorname{Hom}_A(-, N)$  to the resolution  $L_\bullet \rightarrow M$ , we obtain a complex which ends with

$$\operatorname{Hom}_A(L_{r-1}, N) \xrightarrow{d_r^*} \operatorname{Hom}_A(L_r, N) \rightarrow 0,$$

where  $\operatorname{Ext}_A^r(M, N)$  is the cokernel of the above map. Since each  $L_i$  is free, we can write  $\operatorname{Hom}_A(L_i, N)$  as a direct sum of some copies of  $N$  and we can express every boundary map  $d_i : L_i \rightarrow L_{i-1}$  as a matrix with entries in  $\mathfrak{m}$ . It follows that  $d_i^*$  is given by the same matrix (with entries in  $\mathfrak{m}$ ). Hence, the image of  $d_r^*$  is contained in  $\mathfrak{m} \operatorname{Hom}_A(L_r, N)$ , which is properly contained in  $\operatorname{Hom}_A(L_r, N)$  by Nakayama's lemma. This completes the proof. ■

**REMARK 2.3.** The above proof also shows that the minimal resolution is indeed the one that achieves the projective dimension of a module.

**THEOREM 2.4 (AUSLANDER-BUCHSBAUM).** Let  $A$  be a Noetherian local ring and  $M \neq 0$  a finite  $A$ -module. If  $\operatorname{proj dim}_A M < \infty$ , then

$$\operatorname{proj dim}_A M + \operatorname{depth} M = \operatorname{depth} A.$$

*Proof.* We shall induct on  $h = \operatorname{proj dim}_A M$ . If  $h = 0$ , then  $M$  is a free module, and there is nothing to prove. If  $h = 1$ , then the minimal resolution looks like

$$0 \rightarrow A^m \xrightarrow{\varphi} A^n \rightarrow M \rightarrow 0,$$

where  $\varphi$  is given by an  $n \times m$  matrix with entries in  $\mathfrak{m}$ . ■

**LEMMA 2.5.** Let  $A$  be a ring and  $n \geq 0$  an integer. Then the following are equivalent:

- (1)  $\text{proj dim}_A M \leq n$  for every  $A$ -module  $M$ ,
- (2)  $\text{proj dim}_A M \leq n$  for every finite  $A$ -module  $M$ ,
- (3)  $\text{inj dim}_A N \leq n$  for every  $A$ -module  $N$ , and
- (4)  $\text{Ext}_A^{n+1}(M, N) = 0$  for all  $A$ -modules  $M$  and  $N$ .

*Proof.* All implications are straightforward. ■

**DEFINITION 2.6.** The *global dimension* of a ring is defined as

$$\text{gl dim } A = \sup \{ \text{proj dim } M : M \text{ is an } A\text{-module} \}.$$

Due to Lemma 2.5, the above supremum can also be taken over all finite  $A$ -modules. Further, if  $(A, \mathfrak{m}, k)$  is a Noetherian local ring, due to Lemma 2.2 (2), we have

$$\text{gl dim } A = \text{proj dim}_A k.$$

Recall that the *embedding dimension* of a Noetherian local ring  $(A, \mathfrak{m}, k)$  is defined to be

$$\text{emb dim } A = \dim_k \mathfrak{m}/\mathfrak{m}^2.$$

**THEOREM 2.7 (SERRE).** Let  $(A, \mathfrak{m}, k)$  be a Noetherian local ring. Then the following are equivalent

- (1)  $A$  is regular;
- (2)  $\text{gl dim } A = \dim A$ ;
- (3)  $\text{gl dim } A < \infty$ .

*Proof.* (1)  $\implies$  (2) Choose a regular system of parameters  $x_1, \dots, x_n \in \mathfrak{m}$ , so that  $n = \dim A$ . Since  $\underline{x} = x_1, \dots, x_n$  is an  $A$ -sequence, it follows from Theorem 1.11 that  $K_\bullet(\underline{x})$  is exact, whence it is a free resolution of  $k$ . Note further that the transition matrices in the Koszul complex have entries lying in  $\mathfrak{m}$ , whence the Koszul complex is a minimal free resolution of  $\mathfrak{m}$ . Thus,

$$\text{gl dim } A = \text{proj dim}_A k = n = \dim A,$$

as desired.

(2)  $\implies$  (3) is clear. We shall show that (3)  $\implies$  (1). Let  $\text{gl dim } A = r < \infty$ , and set  $\text{emb dim } A = s$ . We shall show that  $A$  is regular by induction on  $s$ . If  $s = 0$ , then  $\mathfrak{m} = 0$ , and hence,  $A$  is a field, so it is regular.

Suppose now that  $s > 0$ . We claim that  $\mathfrak{m} \notin \text{Ass}_A(A)$ . If not, then consider a minimal resolution of  $k$ ,

$$0 \rightarrow L_r \rightarrow L_{r-1} \rightarrow \dots \rightarrow L_0 \rightarrow k \rightarrow 0,$$

where the maps are given by matrices with entries in  $\mathfrak{m}$ . Now, there is some  $0 \neq a \in A$  such that  $\mathfrak{m} = \text{Ann}_A(a)$ . It follows that the element  $(a, a, \dots, a) \in L_r$  lies in the kernel of the map  $L_r \rightarrow L_{r-1}$ , a contradiction.

Thus  $\mathfrak{m} \notin \text{Ass}_A(A)$ . Choose

$$x \in \mathfrak{m} \setminus \left( \mathfrak{m}^2 \cup \bigcup_{\mathfrak{p} \in \text{Ass}_A(A)} \mathfrak{p} \right).$$

using prime avoidance<sup>1</sup>. Then  $x$  is  $A$ -regular, hence also  $\mathfrak{m}$ -regular. Setting  $B = A/xA$ , and using Lemma 1.23 (2), we have  $\text{Ext}_A^i(\mathfrak{m}, N) = \text{Ext}_B^i(\mathfrak{m}/x\mathfrak{m}, N)$  for all  $B$ -modules  $N$ . Hence,  $\text{Ext}_B^{r+1}(\mathfrak{m}/x\mathfrak{m}, N) = 0$  for every  $B$ -module  $N$ ; that is,  $\text{proj dim}_B \mathfrak{m}/x\mathfrak{m} \leq r$ .

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<sup>1</sup>TODO: Add in the statement

Next, we show that the natural surjection  $\mathfrak{m}/x\mathfrak{m} \rightarrow \mathfrak{m}/xA$  splits as  $A$ -modules (and hence as  $B$ -modules). First, choose a minimal generating set  $x, x_2, \dots, x_s$  of  $\mathfrak{m}$  and set  $\mathfrak{b} = (x_2, \dots, x_s)$ . Note that  $\mathfrak{b} \cap xA \subseteq x\mathfrak{m}$ . Indeed, if  $y = a_2x_2 + \dots + a_sx_s = ax \in \mathfrak{b} \cap xA$ , then looking at the equality modulo  $\mathfrak{m}$ , we see that  $a \in \mathfrak{m}$ , whence  $x \in \mathfrak{b} \cap x\mathfrak{m} \subseteq x\mathfrak{m}$ . Now, consider the chain of natural maps

$$\frac{\mathfrak{m}}{xA} = \frac{\mathfrak{b} + xA}{xA} \xrightarrow{\sim} \frac{\mathfrak{b}}{\mathfrak{b} \cap xA} \rightarrow \frac{\mathfrak{m}}{x\mathfrak{m}} \rightarrow \frac{\mathfrak{m}}{xA}.$$

Their composition is the identity, and hence, the surjection  $\mathfrak{m}/x\mathfrak{m} \rightarrow \mathfrak{m}/xA$  splits. In particular, this means that

$$\text{proj dim}_B \mathfrak{m}/xA \leq \text{proj dim}_B \mathfrak{m}/x\mathfrak{m} \leq r.$$

Because of the exact sequence  $0 \rightarrow \mathfrak{m}/xA \rightarrow B \rightarrow k \rightarrow 0$ , we see that  $\text{gl dim } B = \text{proj dim}_B k \leq r + 1$ . Since  $\text{emb dim } B = r - 1$ , the induction hypothesis gives that  $B$  is a regular local ring. Now, since  $x$  is  $A$ -regular,  $\text{dim } B = \text{dim } A - 1$ , and therefore,

$$\text{emb dim } A = \text{emb dim } B + 1 = \text{dim } B + 1 = \text{dim } A,$$

whence  $A$  is a regular local ring, as desired. ■

**THEOREM 2.8 (SERRE).** Let  $A$  be a regular local ring and  $\mathfrak{p}$  a prime ideal of  $A$ . Then  $A_{\mathfrak{p}}$  is a regular local ring.

*Proof.* ■